

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Johnson, Karen K.

attorney-adviser, Office of the Legal Adviser, Department of State

Report Year: 2018

Other Federal Government Positions Held During the Preceding 12 Months: None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

eSigned in FDM by:

Karen K. Johnson

User ID: [REDACTED]



05/11/2018

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations(Subject to any comments below).

eSigned in FDM by:

Sarah E. Taylor

User ID: [REDACTED]



05/24/2018

Other review conducted by

Supervisor:

eSigned in FDM by:

Travon A. Epps

User ID: [REDACTED]



05/11/2018

Reviewer:

eSigned in FDM by:

Sarah E. Taylor

User ID: [REDACTED]



05/24/2018

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

This report has no reported Positions Held Outside United State Gov.

2. Filer's Employment Assets & Income and Retirement Accounts

This report has no reported Assets

3. Filer's Employment Agreements and Arrangements

This report has no reported Agreements and Arrangements

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

This report has no reported Compensation Exceeding \$5,000

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Keogh	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	SEP IRA	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	ROTH IRA	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	IRA	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Getty Images	N/A		Fees	
6	Uber	N/A		Fees	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Citibank checking	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	ABN AMRO checking/saving	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	NY (401k) cash	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	Roth IRA	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	10 CALL (T) AT&T INC COM JAN 19 18 \$37 (100 SHS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6	460 SPDR S&P 500 ETF TRUST UNIT SER 1 S&P	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

7	15 CALL (VXX) BARCLAYS BK PLC FEB 17 17 \$25	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
8	30 PUT (T) AT&T INC COM USD1 JAN 19 18 \$34	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
9	20 PUT (T) AT&T INC COM USD1 DEC 01 17 \$34.5	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
10	40 CALL (T) AT&T INC COM USD1 NOV 17 17 \$33.5	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
11	50 CALL (T) AT&T INC COM USD1 NOV 10 17 \$34	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12	2000 AT&T INC COM USD1	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
13	10 PUT (SPY) SPDR S&P 500 ETF DEC 21 18 \$280	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
14	20 PUT (SPY) SPDR S&P 500 ETF DEC 21 18 \$270	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
15	10 CALL (SPY) SPDR S&P 500 ETF JAN 19 18 \$250	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
16	5 CALL (SPY) SPDR S&P 500 ETF DEC 29 17 \$265	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
17	29 PUT (SPY) SPDR S&P 500 ETF DEC 15 17 \$245	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
18	10 PUT (SPY) SPDR S&P 500 ETF DEC 15 17 \$240	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
19	17 PUT (SPY) SPDR S&P 500 ETF DEC 15 17 \$235	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
20	25 CALL (SPY) SPDR S&P 500 ETF DEC 15 17 \$245	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
21	20 PUT (SPY) SPDR S&P 500 ETF NOV 17 17 \$245	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
22	10 CALL (SPY) SPDR S&P 500 ETF NOV 17 17 \$245	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
23	3 PUT (SPY) SPDR S&P 500 ETF OCT 20 17 \$250	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
24	13 PUT (SPY) SPDR S&P 500 ETF OCT 20 17 \$245	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
25	3 CALL (SPY) SPDR S&P 500 ETF OCT 20 17 \$250	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
26	10 PUT (SPY) SPDR S&P 500 ETF SEP 15 17 \$235	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
27	25 PUT (SPY) SPDR S&P 500 ETF AUG 18 17 \$245	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
28	6 PUT (SPY) SPDR S&P 500 ETF AUG 18 17 \$235	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
29	2 PUT (SPY) SPDR S&P 500 ETF JUN 30 17 \$245	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
30	7 PUT (SPY) SPDR S&P 500 ETF JUN 30 17 \$222	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

31	3 PUT (SPY) SPDR S&P 500 ETF JUN 16 17 \$240	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
32	2 CALL (SPY) SPDR S&P 500 ETF MAY 24 17 \$240	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
33	6 PUT (SPY) SPDR S&P 500 ETF MAR 31 17 \$225	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
34	6 PUT (SPY) SPDR S&P 500 ETF MAR 31 17 \$220	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
35	3000 SPDR S&P 500 ETF TRUST UNIT SER 1 S&P	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
36	20 PUT (PFE) PFIZER INC DEC 29 17 \$35.5 (100 SHS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
37	300 sh ATT	N/A	\$1,001 - \$15,000		None (or less than \$201)
38	1 SPY Dec 15 '17 \$245 Call(SPY)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
39	10 SPY Dec 21 '18 \$275 Put(SPY)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
40	100 of SPY	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
41	800 sh ATT	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
42	8 T Nov 03 '17 \$37.50 Call(T)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
43	10 SPY Dec 21 '18 \$275 Put(SPY)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
44	100 of SPY	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
45	10 PUT (SPY) SPDR S&P 500 ETF SEP 15 17 \$231	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
46	6 PUT (SPY) SPDR S&P 500 ETF DEC 21 18 \$270	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
47	5 PUT (T) AT&T INC COM USD1 DEC 15 17 \$33	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	10 CALL (SPY)JAN 19 18 \$250	sale	12/04/2017	\$1,001 - \$15,000
2	10 CALL (T) JAN 19 18 \$37	sale	10/25/2017	\$1,001 - \$15,000
3	10 PUT (SPY) DEC 21 18 \$280	sale	09/05/2017	\$1,001 - \$15,000
4	13 PUT (SPY) OCT 20 17 \$245	sale	Multiple	\$1,001 - \$15,000
5	20 PUT (SPY) DEC 21 18 \$270	sale	08/11/2017	\$1,001 - \$15,000
6	20 PUT (SPY)NOV 17 17 \$245	sale	08/21/2017	\$1,001 - \$15,000
7	2000 AT&T INC COM USD1	sale	11/13/2017	\$1,001 - \$15,000
8	25 CALL (SPY)DEC 15 17 \$245	sale	Multiple	\$1,001 - \$15,000
9	25 PUT (SPY)AUG 18 17 \$245	sale	Multiple	\$1,001 - \$15,000

10	29 PUT (SPY) DEC 15 17 \$245	sale	Multiple	\$1,001 - \$15,000
11	3000 SPDR S&P 500 ETF	sale	Multiple	\$1,001 - \$15,000
12	460 SPDR S&P 500	sale	Multiple	\$1,001 - \$15,000
13	6 PUT (SPY) DEC 21 18 \$270	sale	08/11/2017	\$1,001 - \$15,000

8. Liabilities

This report has no reported **Liabilities**

9. Gifts and Travel Reimbursements

This report has no reported **Gifts and Reimbursements**

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)
- This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

- The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the

filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)
- This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

- This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

- This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes, and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

- This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gift and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and the dependent children received from any one source during the reporting period.
- For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U.S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosure agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service, or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW, Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).